# AFRICAN INSTITUTIONS INNOVATION MECHANISM (AIIM)-ASSIST

**FY 2014 ANNUAL REPORT (OCTOBER 1, 2013 – SEPTEMBER 30, 2014)**

# AFRICAN INSTITUTIONS INNOVATION MECHANISM (AIIM)-ASSIST

**FY 2014 ANNUAL REPORT (OCTOBER 1, 2013 – SEPTEMBER 30, 2014)**

# TABLE OF CONTENTS

## Table of Contents

# LIST OF ACRONYMS

| | |
|---|---|
| ACT! | Act Change Transform |
| AGRA | Alliance for a Green Revolution in Africa. |
| AGMARK | Agricultural Market Development Trust |
| AIIM | African Institutions Innovation Mechanism |
| APS | Annual Program Statement |
| CAADP | `Comprehensive Agriculture Development Program |
| COMESA | Common Market for Eastern and Southern Africa |
| COR | Contracting Officer's Representative |
| EAFF | East African Farmers Federation |
| EAGC | East African Grain Council |
| FarmTrade | Farmers' Integration into Regional Markets through Structured Trade |
| FOSTER | Food Security, Sustainable Trade, and Environmental Resilience |
| IEE | Initial Environmental Examination |
| M&E | Monitoring and Evaluation |
| MIS | Management Information Systems |
| OCA | Organizational Capacity Assessment |
| PMP | Performance Monitoring Plan |
| TEC | Technical Evaluation Committee |
| USAID | U.S. Agency for International Development |

# I. EXECUTIVE SUMMARY

African Institutions Innovation Mechanism (AIIM)-Assist is a 36-month activity with a 24-month option, which started on August 6, 2012. The project is implemented by ACDI/VOCA in partnership with Act Change Transform (ACT!).

AIIM-Assist complements AIIM, an initiative aimed at increasing the number of African organizations partnering with the United States Agency for International Development (USAID)/East Africa. Through the Annual Program Statement (APS), AIIM provides regional African organizations with an opportunity to apply for funding for activities that have the potential to contribute significantly to the regional Feed the Future (FtF) agenda.

The original goal of AIIM-Assist was to provide support to USAID/East Africa in the management of AIIM grantees. USAID/East Africa intended to award AIIM grants or cooperative agreements through an APS procurement process open to organizations active in at least two of the greater East African countries. AIIM-Assist initially comprised of four components, but during the fourth quarter (Q4) of Fiscal Year (FY) 2014, USAID/East Africa terminated the AIIM APS and capped the number of AIIM grants to two organizations. Consequently, in QR4 of FY 2014, AIIM-Assist dropped the all activities under component 1.

The four original project components of AIIM-Assist are:
1. **Management of the APS Process**: AIIM-Assist staff will work closely with the Regional Office of Agriculture and Resilience (ROAR) of USAID/East Africa, assisting USAID to manage the routine operations of the APS process. The USAID Agreement Officer's Representative (AOR) retains responsibility for the oversight of all grants and cooperative agreements under the APS. AIIM-Assist will not undertake any activities related to this component in year 3.
2. **Institutional strengthening support to AIIM grantees:** None of the APS applicants had prior direct USAID funding experience. Through the APS process, USAID's pre-award survey, and Organizational Capacity Assessment (OCA) applicants were able to identify areas for capacity building. AIIM-Assist works to address those and other capacity needs identified by USAID/East Africa through direct assistance and/or short-term consultants.
3. **Technical assistance to other USAID Missions in Feed the Future focus countries:** At the request of USAID/East Africa, AIIM-Assist provides technical assistance to bilateral USAID Missions in the region either directly or by mobilizing short-term consultants with appropriate expertise. Areas of technical assistance may include external assessments and mid-term reviews of activities and programs as mandated by USAID's new evaluation strategy and the Feed the Future monitoring and evaluation (M&E) system.
4. **Technical support to African regional partners outside of AIIM:** As directed by USAID/East Africa/ROAR, AIIM-Assist may provide technical assistance to other partners of USAID/East Africa, either directly or by mobilizing short-term consultants with appropriate expertise. Partners may include African host-country governments, regional intergovernmental organizations, and local organizations or businesses.

This report summarizes and highlights activities and tasks that were accomplished in FY 2014 from October 1, 2013 to September 30, 2014 as well as activities that took place during FY2014 Q4 from July 1, 2014-September 30, 2014. The report provides an overview of project management and administration and a summary of key monitoring and evaluation (M&E) activities. The report further covers tasks planned for the first quarter of FY 2015.

# A. QUALITATIVE IMPACT

**FY 2014 Q1**

- Provided of technical assistance to Agricultural Market Development Trust (AGMARK) in the recruitment of a Finance Manager and in responding to USAID/East Africa's proposal questions
- Supported the institutional strengthening activities of East African Farmers Federation (EAFF)
- Supported EAFF in preparing for the Data Quality Audit (DQA) of the Farmers' Integration into Regional Markets through Structured Trade (FarmTrade) project
- Resubmitted a technical support plan to USAID/Burundi for the capacity building of the Agribusiness Chamber of Commerce; the plan was approved by USAID/Burundi
- Developed and submitted a draft scope of work (SOW) for the first assignment under the USAID/Burundi technical assistance plan
- Supported EAFF in the communication and branding of the FarmTrade launch

**FY 2014 Q2**

- Provided technical support to EAFF in gender mainstreaming
- Conducted the first gender assessment for EAFF in Rwanda from February 13-14, 2014
- Participated in the AIIM APS Technical Evaluation Committee convened by USAID/East Africa from March 17-20, 2014 to review concept notes
- Provided technical support to East African Grain Council (EAGC) and AGMARK, two potential AIIM grantees, to develop their milestones for submission to USAID/East Africa.
- Provided technical support to Burundi's Agribusiness Chamber of Commerce to modify grant milestones and draft a request to USAID/Burundi to change their milestones

**FY 2014 Q3**

- Developed EAFF gender and youth policies
- Provided technical support to EAFF and AGMARK to develop their milestones for submission to USAID/East Africa.
- Provided technical support to Burundi's Agribusiness Chamber of Commerce in planning for their strategic planning retreat
- Facilitated the FarmTrade project end of year review (May 5-6, 2014) in Naivasha, Kenya.
- Provided technical assistance to AGMARK to prepare their milestones for submission to USAID/East Africa

**FY 2014 Q4**

- Provided technical support to AGMARK in reviewing their M&E interview questionnaire
- Continued offering technical assistance on the development of EAFF's youth policy
- Continued planning for a strategic workshop for the Agribusiness Chamber of Commerce of Burundi
- Provided support to EAFF for the revision of their work plan and Performance Monitoring Plan (PMP) with the aim of ensuring all documents were ready for submission to USAID/East Africa by the end of July 2014
- Provided technical support to EAFF in the form of two commodity specialists to assist in the development of the commodity business plans for maize and rice
- Provided support to USAID/Burundi in the form of a consultant who facilitated a strategic planning retreat for the capacity building of Burundi's Agribusiness Chamber of Commerce
- Responded to the Bureau of Food Security's call for input on its civil society engagement handbook. Carried out a survey using an online survey tool and received responses from nine organizations
- Reached out to 12 AIIM-Assist Finalists to discuss capacity building technical assistance and met

with 6 of them. Three organizations are scheduled for OCAs in Q4 FY 2015
- Identified a consultant who will commence the Government of Burundi support assignment from October-December 2014
- Responded to queries on the year 3 annual work plan and plan to align the budget with the approved activities and staff changes in the work plan
- Started planning the USAID partners meeting and M&E training scheduled from November 5-7, met with the USAID/East Africa M&E expert to review the draft training materials
- 

# B. QUANTITATIVE IMPACT

### FY 2014 Q1

Developed training materials for implementing USAID Award training
- Completed a successful four-day training for AIIM grantees, the International Union for Conservation of nature (IUCN) and grantees of USAID/Ethiopia and USAID/Burundi
- Submitted the final technical assistance report to Common Market for Eastern and Southern Africa (COMESA) to update the Regional Compact
- Completed the midterm evaluation of the Seeds for Development (S4D) project implemented by Alliance for Green Revolution in Africa (AGRA) for USAID/South Sudan and the submission of a draft report

### FY 2014 Q2

- Worked with the USAID/East Africa team to organize two AIIM APS applicants' conferences; January 21, 2014 in Nairobi and January 23, 2014 in Dar es Salaam
- Developed the gender policy for EAFF
- Completed an eligibility review of 50 concept notes submitted under the AIIM APS
- Received approval from USAID/South Sudan for the S4D project mid-term evaluation final report
- Provided technical support to Burundi Agribusiness Chamber of Commerce in the development of the project work plan and PMP

### FY 2014 Q3

- Completed the development of the gender policy for the EAFF after incorporating feedback from EAFF'S Annual General Meeting (AGM).
- Submitted an Institutional Development Specialist candidate and an M&E specialist candidate for approval to USAID/ East Africa

### FY 2014 Q4

- Submitted a concept note to USAID/East Africa regarding the reprogramming of agreed-on activities for year 3
- Submitted the year 3 annual work plan to USAID/East Africa in August 2014
- Facilitated an OCA for the Burundi Agribusiness Chamber of Commerce. The training was facilitated by a consultant and AIIM's Operations Coordinator from September 29-30, 2014. The OCA had 20 participants comprised of staff and the board of the Agribusiness Chamber.
- Facilitated a strategic planning retreat from August 25-28, 2014, attended by 25 members of Burundi's Agribusiness Chamber of Commerce and USAID/Burundi, to build the capacity of Burundi's Agribusiness Chamber of Commerce
- Submitted a five-page concept note to the Bureau for Food Security that included examples and recommendations on creating more effective engagement with civil society and other non-state

actors in East Africa

# C. PROJECT ADMINISTRATION

In year 2, AIIM-Assist focused on providing technical assistance to EAFF and two other potential AIIM grantees in addition to bilateral USAID missions and partners. The following administrative activities were undertaken during the year to facilitate project operations:

- Updates were made on the project website with new data derived from the project and from partners
- Developed and submitted various reports to USAID/East Africa:
  a. FY 2013 annual report to USAID/East Africa
  b. Three quarterly reports
  c. 12 monthly updates
  d. Year 3 work plan
- Migrated the consultant CV submission process from the previous email based procedure to the consultant portal on the AIIM-Assist website
- Advertised and interviewed several candidates for the vacant positions of M&E Specialist and Institutional Development Specialist
- Developed and submitted a success story to USAID/East Africa titled, "East African Organizations Gain Skills to Seize New Opportunities"
- Submitted the successful M&E Specialist and Institutional Development Specialist candidates to USAID/East Africa for approval and consideration
- Submitted a concept note to USAID/East Africa for reprogramming of year 3 of the project

# 11. KEY ACHIEVEMNETS (QUALITATIVE IMPACT)

## COMPONENT 1: MANAGEMENT OF THE APS PROCESS

At the start of FY 2014, USAID/East Africa was at various stages of reviewing and negotiating with three AIIM applicants from the first APS: AGMARK, EAGC and Kilimo Markets. A second AIIM APS was issued in April 2013, and full proposals were received by September 4, 2013. In FY 2014, AIIM-Assist supported USAID/East Africa to review the full proposals and plan the bidder's conferences for the second call of concept notes.

At the close of the third quarter, AIIM-Assist was informed by USAID/East Africa that the AIIM APS was likely to be discontinued. As a result, applications and concept notes from the first and second APS would not be reviewed.

Activities under this component also included support to AGMARK, EAGC, and Kilimo Markets to respond to pre-award issues raised by USAID. During the third quarter of FY 2014, USAID/East Africa indicated that Kilimo Markets was no longer under consideration for APS funding.
During Year 2, AIIM-Assist undertook the following activities:

Maintenance of the database for the management of the APS process:
AIIM-Assist continued to update and to maintain the APS database. The database, which is part of primary M&E system, is regularly monitored by the AIIM-Assist team. During the second quarter, data on the APS conference such as the list of participants and concept notes records were posted on the database.

Advertisement of the APS:
During the second quarter of FY 2014, AIIM-Assist arranged for an announcement of the due date of concept notes for the second round of the AIIM APS in appropriate national and regional print media. The announcements were made in the first week of January 2014. The advertisements also provided the dates and venue of the bidders conferences set by USAID/East Africa for January 21st and 23rd in Nairobi and Dar es Salaam, respectively. No other APS conferences were held in FY 2014.

**Organizing applicants conferences:**
In collaboration with USAID/East Africa, AIIM-Assist organized two APS applicant conferences in Nairobi on January 21, 2014 and in Dar es Salaam on January 23, 2014. The Nairobi conference was attended by 95 participants drawn from 63 organizations, while the Dar es Salaam conference had 12 participants from 8 organizations. The Nairobi conference attracted a record number of participants and organizations; however, many of the organizations had no regional focus because they were community-based organizations (CBOs) and/or national organizations best suited to bilateral programs.

At the request of USAID/East Africa, the proposal development workshop scheduled for February 2014 was not held due to changes in the APS calendar. The proposal workshop was deferred to the third quarter of FY 2014, but was never held following the cancellation of the APS.

**Screening of concept notes:**
During the second quarter of FY 2014, USAID/East Africa received a total of fifty concept notes from the second AIIM APS. AIIM-Assist undertook an eligibility review of the fifty concept notes within the time frame setup under the APS calendar. Using the established APS criteria, seven out of the fifty concept notes received were found to be ineligible. AIIM-Assist submitted an eligibility report to USAID/East Africa. No other activities were planned or undertaken during the year in review.

**Technical review and selection of applicants:**
During the second quarter of FY 2014, AIIM-Assist supported USAID/East Africa in the technical review of the fifty concept notes by preparing the materials to be reviewed including concept notes, eligibility review notes, review criteria, and scoring sheets. The AIIM-Assist Operations Coordinator participated in the review panel and provided input in the review process, while also drafting summaries of the concept notes' technical strengths and weaknesses. Five organizations were selected and recommended for a full proposal stage. The panel submitted its recommendations to the ROAR office to determinate who would be invited to submit a full proposal.

**Technical review of full proposals:**
Due to changes in USAID/East Africa, there was not a technical review of the second round of proposals for the second AIIM APS.

**Technical Assistance to address pre-award assessment findings:**
Throughout FY 2014, three AIIM applicants negotiated for funding at length with USAID/East Africa. The three organizations went through several phases of negotiation, planning, documentation and communication with USAID/East Africa. AIIM-Assist participated in some of the planning discussions, and AGMARK and EAGC sought AIIM-Assist's support to address technical and capacity issues identified by USAID/East Africa during the pre-award assessment. During the year in review, AIIM-Assist provided the following support to AGMARK and EAGC:

**AGMARK**
- Reviewed the program description document and associated budget to harmonize it with the suggested institutional strengthening activities
- Assisted in the preparation of biodata forms of all key personnel named in the proposal
- Reviewed responses to questions raised by USAID/East Africa on their budget
- Assisted in the preparation of their milestones and milestone budgets for submission to USAID/East Africa
- Advised in the response to USAID/East Africa regarding questions on the earlier submitted milestones after changing to a fixed obligation grant (FOG. The organization had based their initial proposal on a cost reimbursable grant, and the switch to a fixed obligation grant caused delays as the applicant undertook to adjust the budgets and to synchronize them with the technical proposal.

**EAGC**
- Supported the development of their milestones and milestone budget for submission to USAID/East Africa. The AIIM-Assist COP facilitated a full day workshop on March 20, 2014 for EAGC management and staff to help the team understand how Fixed Obligations Grants (FOG) works.
- Provided technical support in response to USAID/East Africa's questions on the earlier submitted milestones regarding the procurement of post-harvest storage equipment and cash flow management.

Because of their proposal to procure post-harvest storage equipment, EAGC had challenges developing a milestone budget that would give them adequate cash flow upfront to manage the procurement. During the third quarter of FY 2014, EAGC requested USAID East Africa to change their proposed award from a fixed obligation grant to a cost reimbursable grant.

**Project inception:**
The AIIM-Assist year 2 work plan was developed on the premise that USAID/East Africa would award the AGMARK and EAGC grants during the first quarter of FY 2014. By the end of the FY 2014, USAID/East Africa was still negotiating a potential award with AGMARK while EAGC had been notified in Q4 that USAID would not be funding their proposal. Therefore, no project inception activities were undertaken during the year. AIIM-Assist is hopeful that the AGMARK grant will be awarded in the first quarter of FY 2015.

# COMPONENT 2: INSTITUTIONAL STRENGTHENING SUPPORT TO AIIM GRANTEES

Institutional strengthening support to AIIM grantees is a core function of AIIM-Assist. The support is central to ensure that AIIM grantees are able to implement USAID funded projects effectively. The technical support also facilitates strong and sustainable East African institutions with the potential to make significant contributions to the regional integration of agricultural.

Organizations that applied for the AIIM grants were required to identify their institutional strengthening needs at the initial stages of the application to help gauge the strengths and weaknesses of each organization, and instill in them the need to self-improve. AIIM-Assist will facilitate an in-depth OCA that will lead to the development of an institutional strengthening plan for any organization that receives funding under the APS. The institutional strengthening plans focus on addressing capacity gaps and needs identified by the applicant, USAID, and the OCA process. The OCA and institutional strengthening plans guide most of the AIIM-Assist capacity building activities.

During the year in review AIIM-Assist carried out the following institutional strengthening activities:

## PRE-AWARD ASSESSMENT RECOMMENDATIONS
**EAFF:** The USAID/East Africa rapid review of EAFF carried out in early year 2 ascertained that EAFF had met all the pre-award assessment recommendations and conditions. AIIM-Assist continues to monitor EAFF's compliance with the revised policies and procedures.

In Q4 of FY 2014, an AIIM-Assist financial management consultant reviewed EAFF's financial and administrative systems to ensure adherence to the policies and procedures developed. The consultant reviewed the following items:
- Cash management procedures to ensure adequate controls and processes are in place
- Use of established timesheets to ensure they are maintained as required and adequately support salary costs
- Travel costs management to ensure strict adherence to travel policies and procedures
- Internal accounting procedures including management processes of how expenses are tracked, projected, and approved
- The accounts and administration filing systems to verify dual filing (electronic and manual) and records backup and determine policy on record retention periods.
- Ensuring that the procurement systems are in line with policies and procedures

Based on the review of EAFF's financial transactions and administrative documents, the organization is mostly in compliance with the revised policies and procedures. There are a few areas that require the attention of management to enforce compliance. AIIM-Assist will undertake another review in FY 2015 to determine if the pending policy areas have been implemented and improvements made.

**AGMARK:** During the first quarter of FY 2014, the pre-award assessment reports for AGMARK and EAGC were shared with AIIM-Assist, and AIIM-Assist anticipated supporting these two organizations in FY 2014 to implement the pre-award assessment recommendations. At the end of the year in review, the AGMARK grant was still under negotiation with USAID/East Africa.

Although AGMARK recognizes the need to strengthen the institutional capacity gaps identified during the pre-award assessment, most of the support will be provided post-award because there are budgetary implications in the grant. AIIM-Assist provided technical support to AGMARK in preparing an action plan

to address capacity issues identified by USAID/East Africa during a pre-award assessment. AIIM-Assist provided the following support:

- Revised the program description to harmonize it with proposed institutional strengthening activities
- Reviewed the institutional strengthening plan and the associated budget following a tripartite meeting between USAID/East Africa, AGMARK and AIIM-Assist
- Reviewed biodata forms of all key personnel named in the proposal
- Reviewed responses to questions raised by USAID/East Africa
- Reviewed responses to USAID/East Africa's final proposal and cost issues

AIIM-Assist staff helped AGMARK to develop a SOW and interview guide for an M&E officer and gender consultant. AIIM-Assist also reviewed the SOW for the M&E officer and developed the interview guide for a gender consultant.

AIIM-Assist staff supported AGMARK to develop tools for use in conducting interviews for the Finance Manager's position. This involved reviewing the SOW and announcement for the Finance Manager position and additionally reviewing over 306 applications for the Finance Manager position and providing a shortlist of the strongest candidates to be interviewed by AGMARK's management team and board. AGMARK shortlisted 10 candidates for interviews. The AIIM-Assist Institutional Development Specialist provided support during the interviews held on January 28-30, 2014.

**Additionally, in FY 2014, AIIM-Assist supported AGMARK to review the advertisement for the Program Manager's position, draft a SOW and interview guide for a gender consultant and M&E officer.**

**Organizational Capacity Assessments**

AIIM-Assist completed a baseline OCA for EAFF at the end of FY 2013. The OCA report and institutional strengthening plan were completed and discussed with the EAFF management during the first quarter of FY 2014.

AIIM-Assist planned to complete a baseline OCA for AGMARK in FY 2014 (contingent on USAID awarding a grant). Since AGMARK is still negotiating the grant with USAID/East Africa at the close of the year, and based on updated timelines predicted by USAID/East Africa, AIIM-Assist now anticipates that this OCA will be undertaken during the first quarter of FY 2015.

**Institutional Strengthening Support**

AIIM-Assist institutional strengthening support is provided in two ways; general interventions targeting all AIIM grantees to address issues that cut across all organizations such as compliance, financial management, and effective implementation of cooperative agreements or grants, and more targeted, grantee-specific institutional strengthening support to address specific institutional weaknesses, some of which may be time-specific special award conditions. The approach includes direct one-on-one engagement with the grantees as well as sessions that involve all the grantees collectively as one group.

**General Institutional Strengthening Support**: During the year in review, the main institutional strengthening support activity was the "Implementing a USAID award" training that took place in November 2013. None of the existing AIIM partners at the time or those in the process of negotiating AIIM awards had prior experience implementing a direct USAID award. Pre-award assessment findings of EAFF, AGMARK, and EAGC indicated that the grantees could face potential challenges in the implementation of USAID awards. In order to mitigate the probable challenges, AIIM-Assist, supported by staff from ACDI/VOCA headquarters and the regional office, developed and facilitated a training on "Implementing a USAID Award" in Nairobi from November 12-15, 2013. The training targeted project managers, accountants/finance managers and M&E officers from AIIM partner organizations and the local partners of two USAID bilateral missions. The workshop was attended by a total of 18 participants drawn from USAID implementing

partners in the East Africa region. The participants included 11 representatives of AIIM grantees, one staff member of IUCN, a USAID/Kenya partner, four participants from USAID/Ethiopia implementing partners, and two participants from USAID/Burundi implementing partners.

The highly interactive training was designed as a foundation-building workshop to enable East African institutions to strengthen their institutional capacity to implement a USAID award. Over the course of the four-day event, participants from Kenya, Tanzania, Ethiopia and Burundi worked hands-on with a real USAID award template, acquiring critical knowledge, skills, resources, and practice in elements of compliance, financial management, project management, and M&E when implementing a USAID-funded program.

During the training, AIIM-Assist received considerable support from USAID/East Africa's technical, compliance, and finance experts who answered questions from participants during the plenary sessions and at informal "Ask the Expert" breakfast sessions.
Training participants, many of whom had recently signed awards with USAID, remarked that the training was very thorough, informative and demanding. All noted that they had learned much over the course of the four days, and felt more comfortable with the rules, regulations, practices, and expectations that guide the management of a USAID award.

The training evaluation indicated that most of the participants found the training useful and felt that it met their expectations. However, participants expressed concern that the agenda was too broad and lengthy, and that some of the sessions were not very well tailored to the specific needs of the grantees. Following the training, AIIM-Assist also received feedback from USAID/Ethiopia staff, that their implementing partners who attended the training, found the training informative. The partners began submitting retroactive approvals (such as travel requests), updating financial and procurement manuals, and submitting improved accruals based on what they learned.

Using this feedback from participants and the experiences of the training facilitators, AIIM-Assist has been revising materials of the training in readiness for a similar training in FY2015. Key considerations in the amendment of the materials include ensuring all sessions are allocated adequate time and are interactive.

**Grantee-Specific Institutional Strengthening Support:** AIIM-Assist facilitated an OCA for EAFF on September 12-14, 2013. The OCA report and institutional strengthening plan were finalized in Q1 FY 2014. AIIM-Assist staff and consultants provided technical support to EAFF, mainly in implementing the institutional strengthening plan and in implementing FarmTrade project throughout the fiscal year. The team provided the following support to EAFF during the year:

*Institutional strengthening support:*
- Revised the organizational structure to clarify reporting lines and accommodate new positions that EAFF has created over time
- Conducted a review and amendment of job descriptions for staff whose roles were overlapping
- Revised staff salaries to align with the revised organizational structure
- Prepared a draft of the volunteer and internship policy, which was shared with AIIM-Assist for review and input
- Supported the development of a gender policy and integration plan; EAFF developed a draft gender policy and shared with AIIM-Assist for review and input
- Reviewed the human resource management policies; EAFF completed a review of the policies to identify specific gaps that needed to be addressed, and the next step will be for AIIM-Assist to provide support to EAFF in revising the policies to address these gaps
- Advised in the hiring of an M&E officer for an initial period of six months and provided support to EAFF in the induction of the M&E officer

*Gender integration technical support:*
- In February 2014, AIIM-Assist engaged ACDI/VOCA's Regional Gender and Youth Specialist to provide technical support to EAFF on gender integration. The technical support included a gender assessment, board and staff training, and development of a gender policy and mainstreaming plan. The results of this assignment were completed gender assessments in Kenya, Uganda, Rwanda, and Tanzania, and a gender assessment report.
- Trained EAFF board and staff in gender mainstreaming. The training was conducted on March 3-4, 2014 and involved 9 staff and 1 board representative. Following the training, the consultant wrote a training report and training facilitation manual.
- Produced a draft gender policy and integration plan in Q2 FY 2014. The AIIM-Assist consultant continued to work with EAFF's Gender and Youth Officer to finalize the policy after receiving feedback during the gender training in March 2014. EAFF's gender policy was presented and approved by the EAFF board at their staff and board retreat in April 2014.
- The AIIM-Assist gender consultant also supported EAFF to mainstream gender and youth in their national training on structured trading systems that was held from April 28-30, 2014 in Nakuru. The training sought to highlight the importance of involving both women and men in the growth and development of farmer groups. The training targeted male and female farmer group leaders from Kenya and was tailored to address specific needs such as skills and knowledge in warehouse receipt systems, contract negotiations, and commodity exchanges.

## Support to EAFF in Implementing FarmTrade
During the year in review, AIIM-Assist continued to provide technical support to EAFF in implementing the Farm-Trade project. This included: Logistical support in arranging for the launch of FarmTrade held on November 18, 2013. AIIM-Assist supported EAFF by drafting a press release, advising on branding and marking for the venue of the event, and reviewing branded materials to make sure that they were compliant with USAID requirements.

- AIIM-Assist's M&E specialist undertook a sample DQA to gauge EAFF's readiness for the formal USAID DQA, and support them in fixing any gaps that were identified. USAID performed the DQA in Q2 FY2014.
- AIIM-Assist provided support to EAFF in preparing for a training on structured trade for farmers involved in the FarmTrade project. The training was organized by EAFF and facilitated by the EAGC in Kampala from March 24-28, 2014. AIIM-Assist reviewed the training agenda and content and provided feedback for refinement of the materials. AIIM-Assist's COP participated in the training to provide technical support to the facilitators. Some of the recommendations made by the COP from this training included; making the training more interactive and practical as opposed to power point presentations, and the incorporation gender and youth. The recommendations from this training were integrated into a second training held in Nakuru in April 2014.
- AIIM-Assist facilitated EAFF's FarmTrade project end of year review from May 5-6, 2014 in Naivasha, Kenya. This two-day process allowed EAFF to take a critical look at their achievements vis-à-vis what was planned, review the challenges faced and identify means to mitigate the challenges in year 2 of project implementation. The discussions were then outlined in the EAFF's year 2 draft work plan.
- AIIM-Assist provided support to EAFF for the revision of their work plan and PMP which were finalized and submitted to USAID before the end of July 2014.
- AIIM-Assist provided technical assistance, in the form of two commodity specialists/consultants, to support EAFF in the development of the commodity business plans for maize and rice. The consultants substantially revised the business plans to address the concerns that USAID had on lack of ownership of the plans by the network members and the fact that the plans didn't exhibit a logical progression of activities needed to achieve the stated objectives.

## Capacity Building of AIIM Finalists

At the end of year 2, USAID/East Africa informed AIIM-Assist that the number of AIIM grantees would be capped at two organizations. In spite of USAID/East Africa's decision to cap the number of direct AIIM awardees, AIIM-Assist looked at this as an opportunity to further develop its capacity building support for East African organizations. In July 2014, AIIM-Assist conducted a preliminary analysis of capacity gaps identified by organizations that reached the proposal stage of the AIIM APS. These organizations are referred to as AIIM Finalists. At the end of August 2014, USAID/East Africa notified the 12 organizations that no awards would be made under the second AIIM APS.

Consequently, AIIM-Assist reached out to the 12 AIIM Finalists to offer capacity building technical assistance. Out of the 12 organizations, AIIM-Assist met with the following 11 organizations to gauge their interest in receiving support, determine their capacity building needs, and plan a way forward. Following the meetings, AIIM-Assist has planned several OCAs in the months of November and December 2014 to assess the institutional capacity gaps and map out an institutional strengthening plan for each organization. AIIM-Assist is scheduled to meet with three other AIIM Finalists based in other East African countries outside of Kenya in October 2014.

The status of each institution is outlined below.

1. **Action Africa Health-I (AAH-I):** AIIM-Assist held a meeting with AAH-I on September 23, 2014. They expressed interest in receiving capacity building support from AIIM-Assist starting off with an OCA, which has been scheduled from November 17 -18, 2014.
2. **Afribanana Products Limited (ABP):** A meeting is scheduled for October 16, 2014 in Kampala.
3. **African Seed Trade Association (AFSTA):** AIIM-Assist held a meeting with AFSTA on September 9, 2014. AFSTA will respond to AIIM-Assist on their interest in receiving capacity building support after their October 22, 2014 board meeting.
4. **Eastern Africa Grain Council (EAGC):** AIIM-Assist received a draft combined SOW from EAGC for the review of its financial, human resource, administrative, and operations policies and manuals. AIIM-Assist has separated the SOW and is discussing the SOW further with EAGC to agree upon the Level of Effort (LoE) required for each assignment.
5. **Humanitarian Initiative Just Relief Aid (HIJRA):** AIIM-Assist was unable to get a response from HIJRA via email or telephone.
6. **ICS Nairobi:** AIIM-Assist met with ICS Africa on September 16, 2014. ICS is willing to receive technical assistance from AIIM-Assist, and an OCA has been scheduled from November 24- 25, 2014 at a venue in Kakamega. ICS Africa will cover the costs of the venue hired as their contribution for this assignment.
7. **Kenya Institute of Organic Farming:** A meeting was held with Kenya Institute of Organic Farming on September 17, 2014. An OCA has been scheduled from November 13-14, 2014 at their offices in Juja.
8. **Kilimo Trust:** AIIM-Assist met with Kilimo Trust representatives on September 3, 2014. Kilimo Trust thereafter shared a number of documents outlining their priority areas for capacity building support. These include; governance, strategy, program and revenue generation, business development, M&E, partnerships, alliances and external relationships, financial management, contracts and compliance management, human resource management, and knowledge management. AIIM-Assist is developing SOWs based on Kilimo Trust's submission.
9. **Lesiolo Grain Holders Ltd (LGHL):** LGHL is not interested in technical assistance from AIIM-Assist.
10. **Arid Lands Information Network (ALIN):** AIIM-Assist will meet with ALIN on October 14, 2014.
11. **Regional Universities Forum for Capacity Building in Agriculture (RUFORUM)**: AIIM-Assist will meet with RUFORUM on October 16, 2014 in Kampala.

# COMPONENT 3: TECHNICAL ASSISTANCE TO OTHER USAID MISSIONS

AIIM-Assist continued to work with USAID/South Sudan and USAID /Burundi on assignments initiated in FY 2013.

**USAID/South Sudan:** AIIM-Assist consultants finalized the mid-term evaluation of the seeds for Development (S4D) project implemented by AGRA. USAID/South Sudan approved the final report submitted by the two consultants, in February 2014.

**USAID/Burundi:**

**Support to Agribusiness Chamber of Commerce:** Early in FY 2013, AIIM-Assist initiated discussions with USAID/Burundi about the possibility of providing organizational capacity development support to the Burundi Agribusiness Chamber of Commerce, which was a potential direct grantee of the mission. AIIM-Assist prepared a technical assistance plan for the organization and presented it to USAID/Burundi. On October 17, 2013, USAID/Burundi notified AIIM-Assist that the grant to the Burundi Agribusiness Chamber of Commerce had been awarded, and thus requested a revised technical assistance plan for the chamber. At the end of October 2013, AIIM-Assist resubmitted the plan and budget to USAID/Burundi for approval.

The revised plan was originally slotted to begin in December 2013 for the first primary activity of strategic planning. AIIM-Assist prepared and submitted a draft SOW for the specific strategic planning support to USAID/Burundi and the Agribusiness Chamber. Unfortunately, the project's AOR resigned from USAID/Burundi, which delayed progress on the assignment. Despite several inquiries by the AIIM-Assist team, no feedback had been received from the mission or the Agribusiness Chamber by the end of the first quarter. AIIM-Assist thus arranged in-person meetings with USAID/Burundi for the second quarter of FY2014.

In February 2014, AIIM-Assist's Chief of Party visited USAID/Burundi and the Agribusiness Chamber to discuss the technical assistance work plan and further opportunities for additional support by AIIM-Assist. Following the visit, AIIM-Assist revised the technical support plans to match the proposed changes in the milestone dates. Since February 2014, AIIM-Assist staff and consultants have undertaken the following capacity building assignments with the chamber:

- At the request of the Burundi Chamber of Commerce, AIIM-Assist reviewed and commented on drafts of their Finance and Human Resource Management manual under review. AIIM-Assist reviewed the various manuals to reflect the Agribusiness Chamber once all the personnel have been recruited.
- In response to a request by USAID/Burundi, AIIM-Assist provided technical support to the Burundi Agribusiness Chamber in developing a project work plan and performance monitoring plan (PMP). AIIM-Assist held a workshop with the board and staff representatives of the Agribusiness Chamber in Bujumbura, Burundi from March 11-13, 2014. AIIM-Assist's Institutional Strengthening Specialist and M&E Specialist facilitated the workshop with the Agribusiness Chamber. Following the workshop, AIIM-Assist produced a draft work plan and PMP that was shared with the Agribusiness Chamber staff and USAID/Burundi for inputs and comments. AIIM-Assist also provided technical support in revising the milestones for the Agribusiness Chamber's FOG.

- AIIM-Assist facilitated a strategic planning retreat for capacity building for Burundi's Agribusiness Chamber from August 25-28, 2014. The retreat was attended by 25 members of the Agribusiness Chamber and two USAID/Burundi staff. The consultant gathered information during the retreat which will form the basis for the Chamber's strategic plan. The consultant submitted the plan for review by stakeholders at the end of the fourth quarter. AIIM-Assist's COP and Operations Coordinator attended the retreat and held meetings with the Agribusiness Chamber and the USAID/Burundi team to plan for additional capacity building support. An AIIM-Assist consultant and the Operations Coordinator facilitated an OCA for the Burundi Agribusiness Chamber of Commerce in September 2014. The OCA workshop was attended by 20 participants comprising of staff and board of the agribusiness chamber.

*I like to explain you many thanks and my satisfaction on the success of the OCA workshop held on 29-30 Sept 2014 at Hotel Club du Lac.*
*It was very well prepared, animated and very had a very rich content. We will capitalize the results of this workshop as well as that one held in Kayanza on Strategic plan.*

*Executive Secretary of the Burundi Agribusiness Chamber*

**Support to the Government of Burundi:**
AIIM-Assist received a request from USAID/Burundi for technical assistance for the government of Burundi in the development of a strategic plan for the coffee sector. AIIM-Assist will provide a consultant to work as part of a team that will develop a proposal to be funded by the World Bank. This task involves the development of a project on the productivity and competitiveness of the coffee value chain in Burundi. The identified consultant will commence the assignment from October through December 2014.

# COMPONENT 4: TECHNICAL SUPPORT TO USAID AFRICAN REGIONAL PARTNERS

AIIM-Assist provides technical assistance to USAID/East Africa regional partners outside of AIIM, which include African host country governments, regional intergovernmental organizations, local organizations and businesses.

During the first quarter of FY 2014, AIIM-Assist held a meeting with Common Market for Eastern and Southern Africa (COMESA) to discuss the way forward following the completion of an earlier assignment to update the COMESA Regional Compact. The revised COMESA Regional Compact and Regional Agriculture Policy and Investment Framework produced with the assistance of an AIIM-Assist consultant, were presented to stakeholders and subjected to several reviews, before getting validated by stakeholders in September 2013. The consultant wrote the final report incorporating the comments and views of the stakeholders and submitted it to COMESA in November 2013. The document needs to undergo translation into the official COMESA languages for distribution.

During the second quarter of FY 2014, AIIM-Assist held discussions with COMESA on additional support in the design of four Regional Investment Programs in Agriculture (RIPAs). After several weeks of consultations within COMESA and externally with development partners including USAID and the (Department for International Development (DFID), COMESA was urged by USAID to consult further and collaborate with other stakeholders including Alliance for Commodity Trade in Eastern and Southern Africa (ACTESA).

# III. PROJECT PROGRESS (QUANTITIVE IMPACT)

AIIM-Assist has achieved many milestones although the project continued to face challenges in year 2 due to the original design of the project which makes it dependent on USAID's APS funding calendar, and the fact that activities have to be demand-driven. AIIM-Assist's institutional support to grantees has been hampered by delays in the AIIM APS grant awards process outside the projects' influence.

The performance targets set by AIIM-Assist at the start of the project were based on assumption that the grant process would take less than one year from submission of a concept note to award. All indications showed that USAID/East Africa planned to award grants to AGMARK, EAGC, and Kilimo Markets by the end of Q2 FY 2014. BY the end of the year FY 2014, none of the three grants had been awarded were awarded; subsequently, the AIIM-Assist project has not been able to fully utilize its ability to provide technical assistance.

Thus far, EAFF's award took one full year, while AGMARK has been engaged in the APS award process for two years at the end of FY2014. EAGC and Kilimo Markets are no longer under consideration for funding. Most of AIIM-Assist's performance indicators that are linked to the provision of technical assistance to AIIM grantees are behind target due to this delay.

Updates to the project's progress towards achieving indicators are found in Annex II. indicator performance reference.

# IV. MONITORING, EVALUATION, AND REPORTING

AIIM-Assist continued to update its online M&E database with data and information during the year in review. AIIM-Assist also continued to mentor EAFF to populate and use the database to improve its data management. Use of the database has enabled AIIM-Assist and EAFF to retrieve data quickly for monitoring and reporting, and to archive the information it for future reference. AIIM-Assist's M&E consultant continued to work with EAFF staff to ensure that all data on the project is entered into the system and that EAFF users are able to use the database for project management and reporting.

USAID conducted a data quality assessment (DQA) of AIIM-Assist on October 16, 2013. The aim was to assess the quality and accuracy of the AIIM-Assist M&E processes and data. The DQA discussed the results that are now reported to USAID in AIIM-Assist's PMP. There was a general feeling that more information needs to be reported for Intermediate Result 1, i.e. "capacity of AIIM grantees strengthened," to effectively manage the grants. This indicator is dependent on the OCA assessments that are conducted annually with each grantee. However, during FY 2013, AIIM-Assist found that EAFF's OCA score was much higher than expected; during their first assessment, EAFF scored 2.614 out of 4 (or 65.35%) against a target of 37.5%. The AIIM-Assist team explained that the score was actually inflated due to the fact that the EAFF OCA was done six months after capacity-building activities had started. In consultation with USAID/East Africa, the OCA was purposely delayed by six months to give EAFF a chance to address the special award conditions. Some of the capacity building activities included technical assistance to EAFF to resolve the special award conditions issued by USAID, financial mentoring, PMP development and work planning support, among other areas, which likely increased the OCA score above the actual baseline.

Table 1: EAFF OCA Scores

| | CA 1 | CA 2 | CA3 | CA4 | CA5 | CA6 | CA7 | Average OCA score |
|---|---|---|---|---|---|---|---|---|
| FY 2012/13 target | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 | 37.5 |
| Actual | 70 | 65 | 60 | 65 | 65 | 62.5 | 70 | 65.35 |
| FY 2013/14 Target | 75 | 80 | 75 | 80 | 80 | 85 | 85 | 80 |
| Actual | | | | | | | | |
| FY 2014/15 target | 85 | 100 | 87.5 | 100 | 90 | 100 | 90 | 93.2 |
| Actual | | | | | | | | |
| *Capacity Area (CA): (CA1) Governance; (CA2) Financial management; (CA3) Administration; (CA4) Human resources management; (CA5) Program management; (CA6) Project performance management and (CA7) Organizational management.* | | | | | | | | |

As a result of the challenge in understanding the nuances of this indicator, the AIIM-Assist team suggested that more explanation be provided on the OCA score, beginning with disaggregating the capacity areas (as shown in the table above).

During the DQA, the USAID M&E specialist also explained that indicator 2, "Number of institutions/organizations undergoing capacity/competency assessment as a result of U.S. Government (USG) assistance," should include pre-award technical support. All pre-award training needs to be considered, and all participants counted under that indicator. The USAID M&E specialist also clarified that counting individuals trained more than once is allowed if the training content is not the same. In the past AIIM-Assist only counted the unique individuals trained regardless of the number of different trainings attended. This will be retroactively revised accordingly.

**Uploaded Data on Feed the Future Monitoring System (FTFMS)**
AIIM-Assist uploaded data on two FTFMS reporting indicators. The first was FTF 4.5.1-27 and CBLD-5 (OP). The first indicator measures the score in percent of combined key areas of organization capacity among USG direct and indirect local implementing partners. The second indicator, 4.5.2-7, measures the number of individuals who have received USG supported short-term agricultural sector productivity or food security training. The results reported were the OCA score for EAFF of 63.35%, and the 79 individuals trained.

**Trained on M&E Aspects of Implementing a USAID Award**
Between November 12-15, 2013, AIIM-Assist organized and facilitated training for USAID partners—both AIIM and non-AIIM grantees—on the M&E aspects of implementing a USAID award. As previously stated, participants were representatives of EAFF, EAGC, AGMARK, IUCN and Kilimo Markets. The content presented by the AIIM-Assist team covered the following topics:
- The importance of quality project design as a basis of effective project implementation and M&E
- The importance and purpose of M&E as a tool for effective project implementation and results measurement
- The key components of an effective M&E system
- USAID award requirements in terms of M&E
- The importance and components of a PMP

Training participant's explored key FtF indicators and were given tips for developing strong program-specific indicators, conducting baseline assessments, and setting targets. These skills will be helpful as they develop PMPs for their projects. AIIM-Assist also provided training on the M&E Online system, which assisted the

participants in understanding the purpose and prepared them to use the system for tracking and reporting their indicators to USAID.

### M&E Support to EAFF

**Trained EAFF Partners on M&E Online:** In October 2013, AIIM-Assist trained the new EAFF M&E officer on the operations of M&E Online system. The officer was trained and mentored on data entry, report production and the management of the database and users. EAFF's M&E officer is now able to manage the grantee's M&E activities, including managing M&E Online data updates and report generation.

**Discussed and Complete EAFF M&E Standard Operating Procedures**: AIIM-Assist supported EAFF in completing their Standard Operating Procedures (SOPs). The SOPs provide a set of instructions that document routine M&E processes and procedures to be followed by EAFF and partners during data collection, processing, storage, and utilization. It details the regularly recurring work processes that are to be conducted or followed each time data collection and management are carried out. The SOPs document the way activities are to be performed to facilitate consistent conformance to technical and quality system requirements and to support data quality.

### Completed M&E Training Facilitator's Guide

AIIM-Assist completed an M&E facilitator's guide that will be used for the partner training workshops. These trainings will provide more detailed information than what was covered during the "Implementing a USAID Award" training. The guide consists of 12 modules including: Monitoring and Evaluation Concepts; Project Design, Project Cycle and M&E; Proposal Writing and M&E; Results Frameworks and Performance Monitoring; Performance Indicators; Data Collection and Management; Management Information Systems/Databases; Evaluation Theory and Practice; Data Quality; Developing and Writing Lessons Learned; Reporting, M&E Online; and Collecting and Using Spatial Data.

# V. PROJECT MANAGEMENT AND ADMNISTRATION.

### ACTIVITIES

AIIM-Assist undertook the following project management and administrative activities during the reporting period:

- AIIM-Assist migrated CV submissions from the email based procedure to the consultants' portal on the AIIM-Assist website in Q1 FY 2014.
- On October 2, 2013, AIIM-Assist advertised for consultants in a local East Africa newspaper in an effort to build up the number of the consultants in the pool. Over 100 applications were received although many of did not have adequate consulting experience. Since then a total of 70 other candidates resumes' have been received and added to the pool.
- AIIM-Assist updated its website to include information on the FarmTrade project and continued review and to introduce new information.
- AIIM-Assist with support from ACDI/VOCA headquarters, developed a learning portal that can be assessed by AIIM grantees. The portal has capacity building tools and resources and is housed on the ACDI/VOCA global learning platform, ASPIRE. AIIM-Assist started downloading materials to the portal appropriately named "Aspire local" and was opened to the grantees in June 2014. However, USAID/East Africa has since requested AIIM-Assist not to spend more LOE on this activity as it was not a priority.
- AIIM-Assist has consistently submitted all reports as per contract. Year 1 annual report was submitted in QY 2014; three quarterly reports were submitted on time, bi-weekly and later monthly updates sent each month. Despite a lot of prompting by AIIM-Assist, EAFF has not taken advantage of the support

available from AIIM-Assist for reviewing their reports.

- **Environmental Compliance (Regulation 216)** Section 117 of the Foreign Assistance Act of 1961, as amended requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 Code of Federal Regulations 216) which, in part, requires that the potential environmental impacts of USAID-financed activities are identified prior to final decision to proceed, and that appropriate environmental safeguards are adopted for all activities. In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In the case of conflict between host country and USAID regulations, the latter shall govern.
  USAID prepared and approved an Initial Environmental Examination (IEE) located at http://gemini.info,usaid.gov/egat/envcomp/repository/pdf/38090.pdf for the program funding this contract. The IEE covers activities expected to be implemented under this contract. USAID has determined that the activities under the contract have a Threshold Determination of Categorical Exclusion and therefore, do not require any further environmental review. The activities under the reporting period are within the scope of the approved Regulation 216 environmental documentation.

## CONSTRAINTS AND CRITICAL ISSUES

The major issues faced by AIIM-Assist during the reporting period were the resignations of the M&E Specialist in October 2014 and Institutional Development Specialists (IDS) in April 2014. In November 2013, ACT! identified qualified replacements for the position, one of which was submitted for approval to USAID; however the candidate ultimately attempted to negotiate a higher salary and declined the position with ACT!. ACT was unable to meet the salary expectations of the second candidate. Consequently, ACT! re-advertised the position. AIIM-Assist submitted replacement candidates for M&E specialist and IDS to USAID/East Africa in April and May 2014. The approval request coincided with a period of organizational changes at USAID/East Africa that affected the structure of AIIM-Assist. Consequently, in July 2014, AIIM-Assist was informed that the AIIM APS had been cancelled, and awards capped to only two organizations. This change and the proposed new activities in year 3 of the project would be better served by mixed skill set of short-term consultants.

## CHANGES IN THE PROJECT

The significant changes experienced on the project can be attributed to the delay of activities. One applicant APS was dropped by USAID/East Africa during the second quarter and a second one in Q4. AIIM-Assist continues to coordinate with USAID/East Africa regarding the timelines related to the APS award for AGMARK.

In July 2014, USAID/East Africa informed ACDI/VOCA that USAID/East Africa will not be issuing any more APS(s) and will most likely limit the number of AIIM grantees to two (EAFF and AGMARK). As a result, AIIM-Assist was requested to redesign its technical interventions to focus its technical assistance mainly on components 3 & 4. The reprogrammed activities are contained in the work plan for year 3.

## CONTRACT MODIFICATIONS AND AMENDMENTS

Due to a change in technical focus and staffing needs of the AIIM-Assist project, a budget modification will be required in line with year 3 work plan. The AIIM-Assist project currently has three full-time staff members: a Chief of Party, an Operations Coordinator and an Accountant. Due to the substantial level of effort required for the proposed activities and the limited timeframe, most of the technical assistance and capacity building activities will need to be undertaken by STTA. AIIM-Assist will draw from its current STTA roster comprised of experts from East Africa as well as tap into ACDI/VOCA's technical leadership in the region and at headquarters. AIIM-Assist will also update its STTA roster in line with the proposed activities for year 3.

# VI. YEAR 2015 WORK PLAN



AIIM-Assist Year 3
Workplan Final.doc

# VIII. ANNEXES AND ATTACHMENTS

## Indicator Reference Sheets

| Performance Indicator Reference Standard Feed the Future 4.5.2-7 |
|---|
| Goal: The capacity of USAID East Africa and its partners strengthened to implement the feed the Future strategy. |
| Indicator 4.5.2-7: Number of individuals who have received USG supported short-term agricultural sector productivity or food security training |
| Is this an Annual Report indicator? Yes |
| DESCRIPTION |
| Definition(s): The number of individuals to whom significant knowledge or skills have been imparted through interactions that are intentional, structured, and purposed for imparting knowledge or skills should be counted. This includes farmers, ranchers, fishers, and other primary sector producers who receive training in a variety of best practices in productivity, post-harvest management, linking to markets etc. It also includes rural entrepreneurs, processors, managers and traders receiving training in application of new technologies, business management, linking to markets etc, and training to extension specialists, researchers, policy makers and others who are engaged in the food, feed and fibre system and natural resources and water management. In-country and off-shore trainings are included. Include training in climate risk analysis, adaptation, mitigation, and vulnerability assessments, as it relates to agriculture. Delivery mechanisms can include a variety of extension methods as well as technical assistance activities. Training should include food security, water resources management/IWRM, sustainable agriculture, and climate change resilience, but should not include nutrition-related trainings. <br><br> (In this project, the indicator on training refers to all the areas identified during OCA which may include: Governance and legal structure, Financial management and internal control systems, Administration and procurement systems, Human resources management, Program management, Project performance management and Organizational management and sustainability. This indicator will count the number of individuals receiving training (completed) in these areas. Individuals can be counted twice if they are trained in different content areas. |
| Unit of Measure: Number |
| Disaggregated by: Training type, sex, age groups and nationality |
| Type: Output |
| Direction of change: Higher = Better |
| PLAN FOR DATA ACQUISITION |
| **Data Collection Method:** During training participants will be required to fill in sign-in sheets. The numbers will be fed into the AIIM-Assist database and indicator report generated as required |
| **Data Source(s):** Training reports, event form and participants sign in sheets, feedback form, AIIM-Assist Database |
| **Frequency/Timing of Data Collection:** Quarterly |
| **Estimated Cost of Data Acquisition**: None. Data collected during training |
| **Individual responsible at USAID:** Kaarli Sundsmo |
| **Individual responsible for providing data to USAID:** Irene Karimi |
| Location of Data Storage: AIIM-Assist database |
| DATA QUALITY ISSUES |
| Date of Initial Data Quality Assessment: September 2013 |

| | |
|---|---|
| **Date of Initial Data Quality Assessment:** April 2013 | |
| **Known Data Limitations and Significance (if any):** Sometimes participants who have not completed a training course, especially courses taking many days, may be reported. | |
| **Actions Taken or Planned to Address Data Limitations**: Course facilitators will ensure participants who have not completed the course are not reported by ensuring sign-in sheets are filled on a daily basis. | |
| **Date of Future Data Quality Assessments**: Quarterly | |
| **Procedures for Future Data Quality Assessments:** AIIM-Assist M&E specialist will routinely review partner OCA and training reports developed by AIIM-Assist. | |

### PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING

| |
|---|
| **Data Analysis**: i. The number of individuals trained will be aggregated from the sign sheets and then disaggregated by sex and type of training by M&E Specialist on a quarterly basis<br>ii. Summaries of trainees will be entered in event documentation for automatic aggregation/disaggregation of training participants for the specified period<br>iii. Beneficiaries will be entered in the M&E online database. Beneficiary data can be transported to Excel for aggregation or disaggregation as required. |
| **Presentation of data:** Tables, graphs |
| **Review of Data:** The M&E Specialist will review database reports on the indicator quarterly |
| **Reporting of Data:** Quarterly and annual reports |

### OTHER NOTES

**Notes on Baselines/Targets:** During the first year, AIIM-Assist targets to train individuals in each of the seven capacity areas per organization. Thus, during the first year, we train 28 individuals; 80 individuals in the second year and 100 in the third year. Other individuals from organizations outside of AIIM-Assist will add to the numbers

| PERFORMANCE INDICATOR VALUES | Target | Actual | Notes |
|---|---|---|---|
| **YEAR** | **Target (cum)** | **Actual** | **Notes** |
| Baseline FY2012/13 | 28 | 79 | 282% achievement |
| FY2013/14 | 80 | 57 | 71% achievement |
| FY2014/15 | 100 | | |

### THIS SHEET LAST UPDATED ON:  October 31, 2014

| Performance Indicator Reference Sheet 5: Custom | |
|---|---|
| **Goal :** The capacity of USAID East Africa and its partners strengthened to implement the feed the Future strategy. | |
| **Indicator:** Number of days of Technical Assistance (TA) provided to USG missions and regional partners | |
| **Is this an Annual Report indicator?** No ___ Yes _X___, for Reporting Year(s) ___2012-15 | |

| DESCRIPTION |
|---|
| **Definition(s):** Technical Assistance refers to support in program reviews – mid-term and end-term, project evaluation, program design, strategy and intervention development, conference design and implementation, communications and outreach, database development and management, design of monitoring and evaluation systems, strengthening of management systems. The indicator measures assistance provided to AIIM grantees, bilateral missions and other partners. Other areas of TA may be identified in response to USAID Mission and partner requests. |
| **Unit of Measure**: Number |
| **Disaggregated by:** Type of organization, Component, Core staff 9AIIM-Assist) vs Consultant time. |
| **Type:** Output |
| **Direction of change:** Higher is better |

| PLAN FOR DATA ACQUISITION |
|---|
| **Data Collection Method:** TA consultants reports will provide substantiating documentation |
| **Data Source(s):** TA file, AIIM-Assist database |
| **Frequency/Timing of Data Collection:** Quarterly |
| **Estimated Cost of Data Acquisition**: None |
| **Individual responsible at USAID:** ▆▆▆▆▆▆ |
| **Individual responsible for providing data to USAID:** ▆▆▆▆▆ |
| **Location of Data Storage:** AIIM-Assist database, AIIM-Assist files |

| DATA QUALITY ISSUES |
|---|
| **Date of Initial Data Quality Assessment:** April 2013 |
| **Known Data Limitations and Significance (if any):** None |
| **Actions Taken or Planned to Address Data Limitations**: NA |
| **Date of Future Data Quality Assessments:** Semi-annually |
| **Procedures for Future Data Quality Assessments:** AIIM-Assist M&E specialist will routinely check the TA files |

| PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING |
|---|
| **Data Analysis:** i. A summary sheet showing days spent during each TA will be attached to TA reports |
| ii. The summary will be disaggregated by component and Core staff vs Consultant's time. |
| iii. The AIIM-Assist M&E specialist will aggregate all the days as shown in the summary sheets for reporting under this indicator. |
| iv. In addition for triangulation purposes, days spent per TA will be fed into the M&E database event documentation which aggregates and disaggregates automatically. |
| **Presentation of data:** Tables, narratives |
| **Review of Data:** The M&E Specialist will review the TA files and database reports on the indicator |
| **Reporting of Data:** Quarterly |

| OTHER NOTES |
|---|
| **Notes on Baselines/Targets:** Target is 200 days per annum provided in the budget for TA |

| PERFORMANCE INDICATOR VALUES | | | |
|---|---|---|---|
| YEAR | Target | Actual | Notes |
| FY2012/13 | 200 | Whole year 145.5 days | 72.8% achievement |
| FY2013/14 | 200 | Whole year 157.5 days | 78.75% achievement |

| FY2014/15 | 200 | | |
|---|---|---|---|

| **THIS SHEET LAST UPDATED ON: Information updated 31 October, 2014** |
|---|
| |

| **Performance Indicator Reference Sheet 6: Custom** |
|---|
| **Goal :** The capacity of USAID East Africa and its partners strengthened to implement the feed the Future strategy. |
| **Indicator:** Number of organizations participating in Annual Program Statement (APS) briefing conference |
| **Is this an Annual Report indicator?** No ___ Yes _X___, for Reporting Year(s) ___2012-15 |
| **DESCRIPTION** |
| **Definition(s):** This indicator will measure those organizations that are represented in the APS briefing conference held at least twice a year but depending on the number of calls. Briefing can be done through online presentations or teleconference for organizations that may not be physically present in the briefing conference. |
| **Unit of Measure**: Number |
| **Disaggregated by:** Type of organization/country, Duration: New/Continuing<br>--New = has not attended a previous briefing<br>--Continuing = entity attended a previous briefing |
| **Type:** Output |
| **Direction of change:** Higher is better |
| **PLAN FOR DATA ACQUISITION** |
| **Data Collection Method:** Participants who attend the APS meeting will register the name of their organizations in the participants list. The list will be filed in the APS conference file and will be the source of data for this indicator. Online participants will also be recorded. The information will be entered in the AIIM-Assist database. |
| **Data Source(s):** Participants lists in the APS conference file, online presentation logs, AIIM-Assist database |
| **Frequency/Timing of Data Collection:** semi-annual |
| **Estimated Cost of Data Acquisition**: None |
| **Individual responsible at USAID:** ███████████ |
| **Individual responsible for providing data to USAID:** ██████████ |
| **Location of Data Storage:** AIIM-Assist Database |
| **DATA QUALITY ISSUES** |
| **Date of Initial Data Quality Assessment:** April 2013 |
| **Known Data Limitations and Significance (if any):** None |
| **Actions Taken or Planned to Address Data Limitations**: NA |
| **Date of Future Data Quality Assessments:** Semi annually |
| **Procedures for Future Data Quality Assessments:** AIIM-Assist M&E specialist will routinely check APS conference files to ensure they are updated. |
| **PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING** |
| **Data Analysis:** i. All participants attending the APS briefing session will enter the name of the organization they are representing as they sign the attendance sheet.<br>ii. AIIM-Assist will aggregate all organizations participating in APS briefing sessions, ensuring there is no double counting since an organization can be represented by more than one participant.<br>iii. The number of organizations is disaggregated by country, type and duration and data reported for this indicator |
| **Presentation of data:** Tables, graphs, narratives |
| **Review of Data:** The M&E Specialist will review APS conference files and database reports on the indicator |
| **Reporting of Data:** Quarterly |
| **OTHER NOTES** |

**Notes on Baselines/Targets:** Estimations done based on numbers that have attended previous APS conference. The number is expected to rise each year with more innovative conference methods by AIIM-Assist e.g. online presentations.

| PERFORMANCE INDICATOR VALUES | | | |
|---|---|---|---|
| **YEAR** | **Target** | **Actual** | **Notes** |
| FY2012/13 | 45 | Qtr 1: 37<br>Qtr 3: 79<br>Total 116 | 258% achievement |
| FY2013/14 | 70 | Qtr 1- 71 | 101% achievement |
| FY2014/15 | 100 | | |
| **THIS SHEET LAST UPDATED ON:  October 31, 2014** | | | |

| Performance Indicator Reference Sheet 7: Custom |
|---|
| **Goal :** The capacity of USAID East Africa and its partners strengthened to implement the feed the Future strategy. |
| **Indicator:** Number of applicants responding to Annual Program Statement (APS) announcements |
| **Is this an Annual Report indicator?** No ____    Yes ___X_, for Reporting Year(s) ___2012-15 |
| **DESCRIPTION** |
| **Definition(s):** This refers to the number of concept notes received in response to the AIIM APS. |
| **Unit of Measure**: Number |
| **Disaggregated by:**  Disaggregated by: country, Type of organization (profit/nonprofit)<br>Duration: New/Continuing<br>--New = applicant had not applied in a previous APS call<br>--Continuing = Applicant responded in a previous APS previously and continues to apply |
| **Type:** Output |
| **Direction of change:**  Higher is better |
| **PLAN FOR DATA ACQUISITION** |
| **Data Collection Method:** All applications received by the deadline set by USAID are sent to AIIM-Assist for eligibility review. The applications are filed systematically and a summary excel sheet produced detailing how each application responds to the selection criteria**.** The excel sheet is filed by AIIM-Assist institutional development specialist and the APS applicants entered into the APS tracker in the AIIM-Assist database. The excel sheet and the APS tracker will be the source of data for this indicator. |
| **Data Source(s):** APS tracker in AIIM-Assist Database, Applicants file |
| **Frequency/Timing of Data Collection:**  Semi Annual |
| **Estimated Cost of Data Acquisition**:  None |
| **Individual responsible at USAID:**  ███████████ |
| **Individual responsible for providing data to USAID:**  ██████ |
| **Location of Data Storage:**  AIIM-Assist Database |
| **DATA QUALITY ISSUES** |
| **Date of Initial Data Quality Assessment:**  April 2013 |
| **Known Data Limitations and Significance (if any): None** |
| **Actions Taken or Planned to Address Data Limitations**: NA |
| **Date of Future Data Quality Assessments:** Semi Annual |

| | |
|---|---|
| **Procedures for Future Data Quality Assessments:** AIIM-Assist M&E specialist will routinely check through the APS file and tracker. | |

| PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING |
|---|
| **Data Analysis:** i. All details of organizations whose applications are received by the deadline are recorded in APS tracker<br>ii. The AIIM-Assist M&E specialist will aggregate the number of organizations applying from the APS tracker in the database.<br>iii. The data is disaggregated by country, type and duration for reporting |
| **Presentation of data:** Tables, graphs, narratives |
| **Review of Data:** The M&E Specialist will review APS files and tracker |
| **Reporting of Data:** Annually |

| OTHER NOTES |
|---|
| **Notes on Baselines/Targets:** The estimates of number organizations responding to the APS during the first year were passed and a more realistic estimate has been made for the second year. This number increased as awareness on the AIIM grants was created in different FtF forums in the East African region. |

| PERFORMANCE INDICATOR VALUES | | | |
|---|---|---|---|
| **YEAR** | **Target** | **Actual** | **Notes** |
| FY2012/13 | 40 | 68 | 170% achievement |
| FY 2013/14 | 60 | 50 | 83% achievement |
| FY 2014/15 | 80 | | |

| THIS SHEET LAST UPDATED ON: 31 October 2014 |
|---|

## Quarterly PMP Results Qtr 2: FY 2013/14

| Key Results Area and Indicator | Length Of Project (LOP) Target | 2013/14 Target | Actual Results by Quarter 2013/14 | | | | Annual Actual | Notes/comments |
|---|---|---|---|---|---|---|---|---|
| | | | Qtr 1 | Qtr 2 | Qtr 3 | Qtr 4 | | |
| *Result Area 1.1: Capacity of AIIM grantees strengthened to manage Key grants* | | | | | | | | |
| Score, in percent, of combined key areas of organization capacity amongst USG direct and indirect local implementing partners - FTF 4.5.1-27 & CBLD-5 Score, (OP) | 89.25% | Num-3.00 Den-4<br><br>75% | NA | NA | NA | NA | | Repeat OCA scheduled later in the year |
| Number of institutions/organization undergoing capacity/competency assessments as a result of USG assistance (cumulative) - 4.5.1-8 (OP) | 7 | 5 | NA | NA | NA | NA | | OCA planned this year for EAGC and AGMARK |
| Number of organizations making significant improvements based on recommendations made via USG supported assessments (cumulative)-4.5.1-5 (OP) | 5 | 3 | NA | NA | NA | NA | | Will be determined after the current years OCA for EAFF |
| Indicator 4.5.2-7: Number of individuals who have received USG supported short-term agricultural sector productivity or food security training | 208 | 80 (60 men, 20 women) | 19 | 13 | 0 | 20 | 52 (Female=18, Male: 34) | Qtr 1: Implementing a USAID Award training with 19 trainees (6 women and 13 men). Qtr 2: 13 participants – 12M for work planning and PMP development in Burundi. Qtr 4. 20 (new) |

| Key Results Area and Indicator | Length Of Project (LOP) Target | 2013/14 Target | Actual Results by Quarter 2013/14 | | | | Annual Actual | Notes/comments |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | participants including 9 men and 11 women) from Burundi Agribusiness Chamber in OCA and strategic planning |
| *Key Result Area 1.2: Technical assistance provided to African regional partners*<br>*Key Result Area 1.3: Technical assistance provided to USAID missions* | | | | | | | | |
| Number of days of Technical Assistance (TA) provided to USG missions and regional partners | 600 | 200 | 28 | 39 | 12 | 78.5 | 157.5 | Qtr 1: Baraki and Kariuki COMESA STTA 9 days each; Alex 5 days managing USAID Award training<br>Qtr 2: Burundi Agribusiness Chamber work planning and PMP preparation by Jasper and Michael (10 days each). 14 days STTA on gender by Lydia and 5 days STTA by Irene for AGMAK and EAGC. Qtr 3 – 3.5 days MERL support by Michael. Qtr 4 Alex Rotich provided technical support to EAFF and AIIM-Assist on 7,8,14 and 21 of July 2014. Michael MERL support 3 days in Qtr 3. Qtr 4 - 65.5 days (3.5 days Michael, 8 days Burundi OCA STTA, 18 days Burundi Strategic plan STTA, 4 days youth policy EAFF STTA by Lydia, 29 days business plans |

| Key Results Area and Indicator | Length Of Project (LOP) Target | 2013/14 Target | Actual Results by Quarter 2013/14 | | | | Annual Actual | Notes/comments |
|---|---|---|---|---|---|---|---|---|
| | | | | | | | | STTA for EAFF (The target fell short by 66 days) |
| *Key Results Area 2: APS process management supported* | | | | | | | | |
| Number of organizations participating in Annual Program Statement (APS) briefing conferences | 100 | 70 | 0 | 71 | 0 | 0 | 71 | Qtr 1: None this quarter Qtr 2: 71 (63 organizations in Nairobi on Jan 21, 2014 and 8 in Dar es salaam on Jan 23, 2014) |
| Number of applicants responding to Annual Program Statement (APS) announcements | 80 | 60 | 0 | 50 | 0 | 0 | 50 | Qtr 1: None this quarter Qtr 2: 50 applications were received for the APS |
| Number of grantees reporting through AIIM-Assist MIS system | 7 | 5 | 1 | 1 | 1 | 1 | 1 | EAFF and its affiliates is using the system |